

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Small et al.  
Assignee: EKC Technology, Inc.  
Title: Catalytic Composition for Chemical-Mechanical Polishing, Method of Using Same, and Substrate Treated with Same  
Serial No.: Unknown Filed: Herewith  
Examiner: Marcheschi, Michael A. Group Art Unit: 1755 (in parent case)  
(in parent case)  
Docket No.: CHEM.004US2

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Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR § 1.97(c)**

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, the documents listed on the accompanying form PTO-1449 are called to the attention of the Examiner for the above patent application. Copies of the documents are enclosed.

Listing of these documents shall not be construed as:

1. an admission that the document is necessarily prior art with respect to the instant invention;
2. a representation that a search has been made; or

3. an admission that the information listed herein is, or is considered to be, material to patentability as defined in § 1.56(b).

**EXPRESS MAIL LABEL  
NO:**  
**EV 321716117 US**

Respectfully submitted,

*K. Alison de Rantz*

July 14, 2003  
Date

K. Alison de Rantz  
Attorney of Record  
Reg. No. 37,119

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Small et al.  
Assignee: EKC Technology, Inc.  
Title: Catalytic Composition for Chemical-Mechanical Polishing, Method of Using Same, and Substrate Treated with Same  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Enclosed are copies of Disclosure Statements, PTO-1449 forms, and a PTO-892 form, which were made of record in parent application:

Serial No. 10/074,757, filed February 11, 2002.

The above-listed application is relied upon by the instant application for earlier filing dates under 35 U.S.C. Section 120.

Each document listed on the various statements is incorporated herein for the Examiner's consideration. The making of each of them of record in the file of this application, is respectfully requested.

Since these references were previously filed by Applicants, or cited by the Examiner, in the parent patent application 10/074,757, no copies are included. Should copies be desired, the undersigned attorney would be glad to furnish them.

**EXPRESS MAIL LABEL**  
**NO:**  
**EV 321716117 US**

Respectfully submitted,

*K. Alison de Rantz*

K. Alison de Rantz  
Attorney of Record  
Reg. No. 37,119

*July 14, 2003*

Date

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Robert J. Small and Brandon S. Scott

Assignee: EKC Technology, Inc.

Title: Catalytic Composition For Chemical-Mechanical Polishing, Method of Using Same, and Substrate Treated With Same

Serial No.: 10/074,757 Filing Date: February 11, 2002

Examiner: unknown Group Art Unit: 2812

Docket No.: M-12412 US

San Francisco, California

June 18, 2002

COMMISSIONER FOR PATENTS

Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR § 1.97(b)

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, the documents listed on the accompanying form PTO-1449 are called to the attention of the Examiner for the above patent application. Copies of these documents are enclosed.

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EXPRESS MAIL LABEL NO.:

EL 947 823 375 US

Respectfully submitted,

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Reg. No. 37,119

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U.S. Department of Commerce, Patent and Trademark Office		Atty Docket No.	Serial No.
		M-12412 US	10/074,757
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicants	
(Use several sheets if necessary)		Robert J. Small and Brandon S. Scott	
		Filing Date	Group
		February 11, 2002	2812

## U.S. Patent Documents

*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
AA	3,139,406	Jun. 30, 1964	Mindick et al.			
AB	4,252,671	Feb. 24, 1981	Smith			
AC	4,478,742	Oct. 23, 1984	Payne			
AD	4,959,113	Sep. 25, 1990	Roberts			
AE	5,234,880	Aug. 10, 1993	Cook et al.			
AF	5,340,370	Aug. 23, 1994	Cadien et al.			
AG	5,527,423	Jun. 18, 1996	Neville et al.			
AH	5,735,963	Apr. 7, 1998	Obeng			
AI	5,785,868	Jul. 28, 1998	Li et al.			
AJ	5,948,697	Sep. 7, 1999	Hata			
AK	5,958,794	Sep. 28, 1999	Bruxvoort et al.			
AL	5,976,480	Nov. 2, 1999	Mangold et al.			
AM	5,980,775	Nov. 9, 1999	Grumbine et al.			
AN	6,030,425	Feb. 29, 2000	Hata			
AO	6,140,239	Oct. 31, 2000	Avanzino et al.			
AP	6,177,026	Jan. 23, 2001	Wang et al.			
AQ	6,214,098	Apr. 10, 2001	Lee			
AR	6,270,395	Aug. 7, 2001	Towery et al.			

## Foreign Patent Documents

						Translation	
	Document	Date	Country	Class	Subclass	Yes	No
AS	1 020 488 A2	Jul. 19, 2000	Europe				
AT	1 020 501 A2	Jul. 19, 2000	Europe				
AU	1 036 836 A1	Sep. 20, 2000	Europe				
AV	99/53532	Oct. 21, 1999	PCT				
AW	01/32794 A1	May 10, 2001	PCT				

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AX	R. G. R. Bacon, "The Initiation of Polymerisation Processes By Redox Catalysts," <i>Quarterly Reviews</i> , pages 287-310.
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	AY	Cheves Walling, "Free Radicals in Solution," <i>John Wiley &amp; Sons, Inc.</i> , (1957), pages 564-579.
	AZ	Benjamin S. Lane and Kevin Burgess, "A Cheap, Catalytic, Scalable, and Environmentally Benign Method for Alkene Epoxidations," <i>American Chemical Society vol. 123(12)</i> , (2001), pages 2933-2934.
	BA	Abstract for, "Comparison of Mineral and Soluble Iron Fenton's Catalysts For the Trichloroethylene", <i>Water Research vol. 35(4)</i> , (2001), pages 977-984.
Examiner		Date Considered
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.		

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.:	10/074,757	Confirmation No.:	9276
First Named Inventor:	Robert J. Small	Filing Date:	February 11, 2002
Group Art Unit:	2812	Examiner:	Unknown
Atty. Docket No.:	M-12412 US		
Title:	Catalytic Composition For Chemical-Mechanical Polishing, Method Of Using Same, And Substrate Treated With Same		
Assignee:	EKC Technology, Inc.		

San Francisco, California  
January 17, 2003

COMMISSIONER FOR PATENTS  
Washington, D. C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

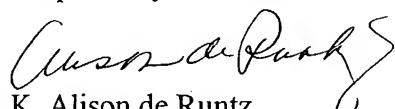
Pursuant to 37 C.F.R. § 1.56, § 1.97, and § 1.98, the documents listed on the accompanying form PTO-1449 are called to the attention of the Examiner for the above patent application. Copies of these documents are enclosed.

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1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made; or
3. an admission that the information listed herein is, or is considered to be, material to patentability as defined in § 1.56(b).

EXPRESS MAIL LABEL NO:  
EV 259 165 022 US

Respectfully submitted,

  
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LAW OFFICES OF  
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U.S. Department of Commerce, Patent and Trademark Office	Atty Docket No.	Application No.
	M-12412 US	10/074,757
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicants	Confirmation No.
(Use several sheets if necessary)	Robert J. Small, et al.	9276
	Filing Date	Group
	February 11, 2002	2812

## U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA	5,084,071	Jan. 28, 1992	Nenadic et al.			
	AB	5,225,034	Jul. 6, 1993	Yu et al.			
	AC	5,958,288	Sep. 28, 1999	Mueller et al.			
	AD	6,313,039 B1	Nov. 6, 2001	Small et al.			
	AF	6,383,065 B1	May 7, 2002	Grumbine et al.			

## Foreign Patent Documents

		Document	Date	Country	Class	Subclass	Translation	Yes	No
	AF	96/38262	5 Dec. 1996	WIPO					
	AG	01/30928 A1	3 May 2001	WIPO					
	AH	02/33736 A1	25 Apr. 2002	WIPO					
	AI	0 831 136 A2	25 Mar. 1998	EPO					
	AJ	0 844 290 A1	27 May 1998	EPO					
	AK	0 846 742 A2	10 Jun. 1998	EPO					
	AL	0 984 048 A2	8 Mar. 2000	EPO					
	AM	1 072 662 A1	31 Jan. 2001	EPO					

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)


Examiner Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

<b>Notice of References Cited</b>	Application/Control No.	Applicant(s)/Patent Under Reexamination	
	10/074,757	SMALL ET AL.	
	Examiner	Art Unit	Page 1 of 1
Michael A Marcheschi	1755		

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
A	US-2002/0077035 A1	06-2002	Wang et al.	451/41
B	US-2002/0017063 A1	02-2002	Beitel et al.	51/307
C	US-6,375,545 B1	04-2002	Yano et al.	451/36
D	US-6,435,947 B2	08-2002	Mueller et al.	451/41
E	US-6,461,227 B1	10-2002	Fang, Mingming	451/41
F	US-5,302,356	04-1994	Shadman et al.	422/186.3
G	US-			
H	US-			
I	US-			
J	US-			
K	US-			
L	US-			
M	US-			

**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
N	10128667	05-1998	JP		
O					
P					
Q					
R					
S					
T					

**NON-PATENT DOCUMENTS**

*	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)	
U		
V		
W		
X		

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

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